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ABSTRACT

This document compiles nine papers issued by the National Council for Resource Development. Papers include: (1) "How to Be Successful at Grantsmanship--Guidelines for Proposal Writing--Foundation Proposals"; (2) "A Federal Glossary" (acronyms); (3) "Special Projects" (a working model for an institutional development office); (4) "The Role of the Professional Educator as the College Development Officer"; (5) "A Profile of Federal Programs Administrators in Multi-Unit Community Colleges"; (6) "The Small College and Federal Funding"; (7) "Government Relations in Community and Junior Colleges: Some Perspectives"; (8) "Higher Education in the Age of the Economist and Consumer"; and (9) "Indirect Costs: An Introduction for the Community College Development Officer." Contributors include W. Harvey Sharron, Lowell Cook and Jack Orcutt, Sanford Schneider, James L. Wattenbarger, Anthony D. Calabro, Bonny Franke, Robert J. Leo, Carmelo L. Battaglia, and Judson H. Flower. (JDS)

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RESOURCE PAPER NO. 4

"HOW TO BE SUCCESSFUL AT GRANTSMANSHIP"

"GUIDELINES FOR PROPOSAL WRITING"

"GENERALIZATION: FOUNDATION PROPOSALS"

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September, 1975

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"HOW TO BE SUCCESSFUL AT GRANTSMANSHIP"
"GUIDELINES FOR PROPOSAL WRITING"
"GENERALIZATION: FOUNDATION PROPOSALS"

Editor's Note: The following three topics were combined into one resource paper for your use and information.

Harvey Sharron is Dean of Development, Santa Fe Community College, Gainesville, Florida and serves as Vice President of the Board of Directors, National Council for Resource Development.

"HOW TO BE SUCCESSFUL
AT GRANTSMANSHIP"
(Especially in the
U.S. Office of Education-
Bureau of Higher Education)

I. <u>If you are to be successful, the following elements are essential</u>:

A. Know the basic needs and problems of the institution and its personnel.

1. Need must be clearly expressed and supported by hard data.

2. Defend or justify your request.

B. You must know the various programs so that you can find a program making grants in that specific area. Too often good proposals are forwarded to the wrong program for funding.

C. Write a proposal that relates your needs to the problems and show how you propose to meet these needs.

D. Institutional commitment must be clearly shown. Interrelationships among students, faculty, and administration must be explicitly stated. A statement describing a sequence of planning sessions and in-service training significantly strengthens the proposal.

II. <u>Things the institution must do administratively to have success at grantsmanship.</u>

A. Create an Office of Development and/or a federal relations coordinator or officer. You must have someone in your institution to keep up with the programs, guidelines, deadlines, and changes in Office of Education personnel (hereafter referred to as OE). (Title III can be used to fund an institutional researcher or development officer to do just this).

B. Set up a library with data, information, forms, literature, and current bulletins.

1. Obtain a list of previous year grantees.

2. Read and keep up-to-date on programs, especially Title III, Cooperative Education, Student Financial Aid, Special Services, Upward Bound, Talent Search, Library, the National Institute of Education, and the Fund for the Improvement of Post Secondary Education.

C. Get to know the people in the game.

1. Make an appointment in Washington with your Congressman. Get him to set up your appointment with the appropriate agency (OE reacts faster to such an arrangement).

2. Schedule a visit with the Program Assistant for Junior Colleges in OE.

3. Above all, get to know the program people. Bureau of Higher Education(in our case, Dr. Paul Carnell, EPDA V-E, Sinclair Jetter, Cooperative Education, and Willa Player, Title III).

4. If you are new to the game, schedule a week's visit to OE with three or four well written prospecti and get to know the program people.

5. Write to program people to obtain the guidelines and to insure that your name gets put on the mailing list for materials.

D. Pull together all of the programs for which the institution is eligible and study carefully.

E. Send your institutional federal liaison officer to training clinics, workshops, and seminars, especially during summers.

F. Visit institutions which have received grants to look at their programs.

III. Helpful Hints

A. Proposals that think big or tend to maximize impact are viewed more favorable.

1. It is easier to obtain $35,000 to $75,000 for a program than $10,000. The rationale is that the institution should commit the $10,000 and that the impact of such a small amount is insignificant compared to the impact of a large grant. Unit cost is better in a larger grant.

2. Proposals that show utilization of various agencies are viewed more favorable. Cross agency (HUD, HEW, Justice) plans are welcomed.

B. In showing the institutional profile, include past experience, present limitations, future expectations, and calculated risks.

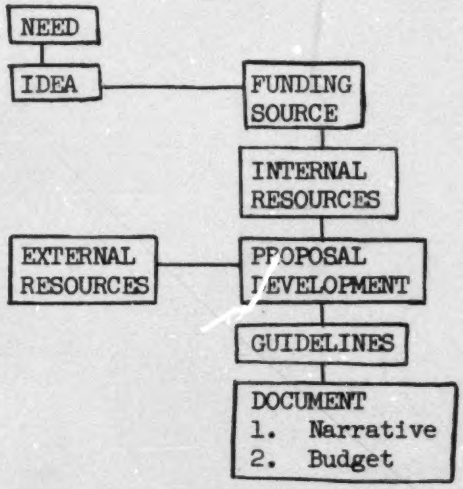
C. If the proposal budget is more than $350,000 for a fiscal year, OE will take a hard look at the budget.

D. If you did not get your funding, find out why. Contact OE to discuss the proposal. (This area is most critical.)

E. In private foundations, the Sloan Foundation and the Ford Foundation are funding projects for minority students.

F. Consortia arrangements have been most in vogue during the past 3-5 years, BUT bilateral arrangements are beginning to be emphasized.

G. Profile of Proposal:



The Federal Relations Officer works in a staff relationship from need to document. His or her work is an integral part from FUNDING SOURCE TO DOCUMENT. He or she is the contact person institutionally and actually should forward the proposal to the funding agency.

Upon successful funding of a project, the Development Officer must become involved in grants management. His or her role is one of facilitation among the Principal Investigator/Project Officer within the institution, the Business Office, and the Administration of the institution. The Development Officer insures that all necessary records are kept and that progress reports are filed, BUT he or she does not actually run the project. The faculty member or project officer is responsible for the actual program implementation.

"GUIDELINES FOR PROPOSAL WRITING"

In general, a good proposal has the following components:

I Need
II Objective (purpose)
III Methodology (procedure)
IV Evaluation
V Budget

These five major elements structure the essence of a good proposal. There is some significant specific expansion of each component that will be broken down in Number II (below) which should be taken into consideration when focusing on any of the above elements.

The proposal should be written in good concise language. Such phrases as "to provide for a meaningful educational experience", filler words, such as, "in order to," "whereby," "in most cases," and other such non-communicative phrases so often used in academic writing are unacceptable. It is advisable to prepare a one or two page summary of what you want to do as a concept paper.

These brief recommendations are especially valid in the area of Federal and State programs. Private and foundation proposal writing is much more demanding and should be approached from a completely different perspective. However, the same principles of composition are generally applicable.

I. Generalizations

A. Prepare a prospectus of not more than three or four pages. State your idea in rather specific terminology.

B. Use simple language, not educational jargon.

C. Do not utilize the services of professional proposal writers.

D. Components of the narrative should take into consideration the following:

1. Narratives must be limited (10 pages or less for Title III, Cooperative Education, V-E funds in OE). (Foundations are usually 2-5 pages at most.)

2. Narratives that contain pre-training assignments are impressive.

3. Narratives must be concise and specific, not wordy. Simply state how you are going to do what you want to do to meet the need.

4. Narratives must establish the need and show interrelationships with other areas of the institution.

E. Proposals should be brief and to the point. They should not be ½ or 1 inch thick; reaction to such is expressly negative.

F. Proposals are usually read by two readers who are knowledgeable in the area.

G. Do not list degrees and publications in the narrative. (Put them in Attachments' Section or Addendum.)

H. List relevant experiences of individuals to the proposal's training or goal. (As an attachment or exhibit.)

I. If the Director of the project is not named, the chances in getting funded are much lessened. One should at least give the characteristics of the Director. (Job description at least.)

II. Specifics

A. Proposal Form

1. Institutional Eligibility (Title III only). Direct the narrative to the following questions: Is the applicant truly a developing institution? Is it isolated from the main currents of academic life and struggling for survival? Utilize hard data in this section (enrollment figures, student-teacher ratio, low income and minority student enrollment figures, and demographic figures of the area including socio-economic profiles).

2. Needs.
Specify what local, regional, or national needs will be served. Provide specific

back up data. State specifically or show evidence that the proposed program will improve the academic quality of the institution.

3. Objectives.
Objectives should be stated precisely. Questions: How will stated objectives meet needs? Are objectives sharply focused?

4. Procedures.
The narratives should provide a clear and detailed description of the process to meet objectives.

5. Evaluation.
Show the follow-up procedures to be used to measure the impact of the program.

6. Staff.
List and state qualifications for planning and implementing a successful program.

7. Target Group.
Is there evidence of effective communication and involvement with administration, faculty, students, parents, community, and other agencies?

8. Commitment.
Is there evidence of <u>real commitment</u> of staff, administration, faculty, students, and cooperating agencies in serving the need?

9. Facilities.
Show evidence of classrooms, laboratories, and other facilities' utilization (faculty offices and equipment).

IO. Budget.
Question: Are all of the dollars requested really needed to successfully implement the program? Defend the budget and itemize costs.

B. General Comments on Specifics

1. <u>Needs</u>, <u>evaluation</u>, <u>commitment</u>, and <u>budget</u> are the troublesome areas.

2. Needs. Utilize hard data to establish beyond reasonable doubt that need exists, that the need is not just "your own thing" project.

3. Evaluation. Do not utilize outside consultants from prestigious agencies and institutions to evaluate, i.e., OE, HEW, Harvard, etc. Name dropping is frowned upon. Show evaluation and measurement within the context of area and community needs utilizing home expertise where possible. Evaluation and follow-up is very important.

4. Commitment. Simply show what you (the institution) have done. If you have not done anything, chances are not good for funding. Show what the college plans to do, especially in regard to dollars, faculty release time, priorities, and commitment.

5. Budget. <u>Be specific</u>. In training programs, do not use retreats or recreational aspects. Title III funds can be used for travel. However, defend your travel budget; you cannot be too specific. Example of specifics: $500 for printing. Do not just list it. Show briefly what you are going to print. State concisely why it is necessary.

a. Most training grants in the federal area (other than medical school types) allow up to $300 per participant per week. However, in such proposals, if the budget is $250 or more per participant per week, the OE will look hard at your budget.

b. Institutions should show overhead costs in the budget. This factor is a favorable plus because it shows institutional commitment.

c. Indirect costs vary from OE (8%-15%) to NSF and NEH (15%-48%).

d. In general, a proposal budget should request from $25,000 to $75,000 for a specific purpose in USOE

e. NSF and NEH proposal budgets range from about $30,000 to $100,000.

Basically, all proposals should exhibit careful thought. OE officials and

program readers can easily detect a hastily written proposal.

"GENERALIZATION:
FOUNDATION PROPOSALS"

Assuming that one has already established the need, has a concept paper, and is searching for a place for funding, then these generalizations would hold true.

The major part of successful funding from a foundation is preparation. One must prepare oneself before asking for a grant. A grantsman must do his homework by researching the various foundations available and understanding what the foundations' purposes are and what their staff members will be requesting for possible funding. Please remember some foundations fund only locally, while others fund nationally and regionally. It would be rather embarrassing to submit a project to a national foundation which funded only in Michigan and Florida if you were in Kansas. Or to submit to a foundation a capital improvement project when the objectives of the foundation specifically stated that its projects and funds would relate to human resources only. In essence, prepare yourself, do your homework, and research the various foundations, their objectives, and their purposes before submitting any proposal to a foundation.

What makes a good proposal to a foundation? The proposal should be brief and concise. State clearly what the purpose is to be, who is going to accomplish it, how long it will take and the approximate cost. In fact, many foundations (Exxon, Mott, Zale, and Sloan) request only a one page submission. That one page submission must include the above elements. Should the foundation find that your project is of interest to them, then its staff members will contact you for a re-write and expansion of your project. Should you not hear about your proposal, perhaps a telephone call or a letter of inquiry concerning your proposal is appropriate. However, please note that there is approximately a three month lead time in response to proposals to large foundations because of the large number of proposals submitted at the deadline dates.

Use a minimum of professional or educational jargon and give a clear summary of what is to be accomplished. Justify your proposal in a very distinct manner. It would be appropriate to make a statement, then give the reasons for it in a one, two, three, four, five objective order. Submit a realistic budget. Unlike many budgets that are submitted to the Federal government, a realistic budget must be submitted to a foundation. The foundation will fund your proposal based on the creativity or its interest level rather than the dollar amount. However, the dollar amount is usually not negotiable once you have stated what you want to do.

In my opinion, there are two ways to approach grantsmanship to foundations: sending your proposal to many foundations simultaneously and concentrating your project and effort on a specific source. The most successful way is to focus in on a specific foundation with a specific nee submit your proposal, wait until you fin out what happens to that proposal, then submit to another foundation if you are unsuccessful. Foundation personnel explain that they get many proposals from many colleges that they know are being submitted to at least ten or fifteen othe foundations. These proposals are usually rather general in nature. Stay away from general support type projects. Submit those projects which are rather specific.

Building and construction projects usually are not a high priority item for foundations. In fact, most foundations do not fund construction projects. Also, please remember that foundations usually fund only seed money for projects not continuation type grants.

Foundations react to national, regional, and local needs much faster than the federal and state governments. This ability to react or change objectives rapidly is one of the major reasons for

the advantage of having a foundation as a granting institution.

What criteria do foundations usually use in evaluating a proposal?

1. Is the proposal realistic and feasible?

2. What purpose does it serve to the community or to the society?

3. Is it innovative, original or creative? (Is this proposal a warmed over approach to a problem that is being done in 45 different sections of the country and you just thought of it?)

4. Are the people involved competent to carry out the project?

5. Is the project within the foundation's purview and program focus?

6. Is there an evaluation technique and is it logical?

7. Is the budget realistic?

Each development officer should have a copy of the Foundation Directory, and other publication information services offered by The Foundation Center. There are over 20,000 foundations in existence today. Approximately 500 of these foundations have 90% of the assets of all foundations. In 1970, foundation support was above $6 billion (actually more than USOE budget).

Many local foundations (State) will fund specific needs that are related to locale. Trust officers and trust departments at banks are good and reliable resources for finding out if a foundation exists in your community or area. The family owned foundations could be a good source of support for a project whose impact could be localized.

In summary, when preparing yourself to submit a grant, have a well conceived, documented, concise proposal and know as much about the foundation that you are approaching as is possible.

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RESOURCE PAPER NO. 5

A FEDERAL GLOSSARY

Compiled by:

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October, 1975

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A FEDERAL GLOSSARY

This glossary identifies the meaning of the most commonly used abbreviations and terms that are part of the vernacular of dealing with the Federal Government and pertinent non-Federal agencies and associations. Lowell Cook of North Iowa Area Community College identified most of the abbreviations included in this glossary in "A Guide for the New Community College Development Officer". Jack Orcutt of The Junior and Community College Institute has updated and edited Lowell Cook's original glossary utilizing the United States Government Organization Manual, the Federal Telephone Directory, the United States Office of Education organizational chart, recent legislation and his own personal experiences.

AAC	American Alumni Council
AAC	Association of American Colleges
AACRAO	American Association of Collegiate Registrars and Admissions Officers
AACTE	American Association of Colleges for Teacher Education
AAHE	American Association for Higher Education
AACJC	American Association of Community and Junior Colleges
AALS	Association of American Law Schools
AAMC	Association of American Medical Colleges
AASCU	American Association of State Colleges and Universities
AAU	Association of American Universities
AAUP	American Association of University Professors
ABE	Adult Basic Education
ACCT	Association of Community College Trustees
ACE	American Council on Education
ACM	Associated Colleges of the Midwest
ACTION	Not an acronym but the full name of a federal agency which deals with aging programs
AECT	Association for Educational Communications and Technology

AGBUC	Association of Governing Boards of Universities and Colleges
AID	Agency for International Development
AIDP	Advanced Institutional Development Program
AIES	Accreditation and Institutional Eligibility Staff (Office of Education)
AOA	Administration on Aging
APGA	American Personnel and Guidance Association
APPAUC	Association of Physical Plant Administrators of Universities and Colleges
APPROPRIATION	The Federal legislation which provides funds for an authorized program to be implemented.
ARBA	American Revolution Bicentennial Administration
ARC	Appalachian Regional Commission
ASAHP	American Society of Allied Health Professions
ASE	Assistant Secretary of Education
ASEE	American Society for Engineering Education
AUPHA	Association of University Programs in Hospital Administration
AUTHORIZATION	The Federal legislation which provides authority for a program to function.
BEH	Bureau of Education for the Handicapped (Office of Education)
BEOG	Basic Educational Opportunity Grant
BHRD	Bureau of Health Resources Development
BIDP	Basic Institutional Development Program
BOAE	Bureau of Occupational and Adult Education (Office of Education)
BPE	Bureau of Postsecondary Education (Office of Education)
BSS	Bureau of School Systems (Office of Education)
CAB	Civil Aeronautics Board

CAMPS	Cooperative Area Manpower Planning
CASC	Council for the Advancement of Small Colleges
CASE	Council for the Advancement and Support of Education
CEA	Council of Economic Advisors
CCR	Cooperative College Registry
CCR	Commission on Civil Rights
CCU	Community College Unit (Office of Education)
CEP	Concentrated Employment Program
CETA	Comprehensive Employment and Training Act
CFDA	Catalog of Federal Domestic Assistance
CGSUS	Council of Graduate Schools in the United States
CIA	Central Intelligence Agency
CLRI	Council on Library Resources, Inc.
CONTINUING RESOLUTION	In the absence of an appropriation for an authorized program to continue from one year to the next, a continuing resolution passed by Congress permits funds to be available for programs at either the previous year's appropriation level or the level requested by the President in his budget, whichever figure is the lowest.
CPA	Council on Postsecondary Accreditation
CPSC	Consumer Product Safety Commission
CSC	Civil Service Commission
CUPA	College and University Personnel Association
CRA	Cooperative Research Act
CWSP	College Work-Study Program
DAE	Division of Adult Education (Office of Education)
DBG	Division of Basic Grants (Office of Education)
DCE	Division of Career Education (Office of Education)

DHEW	Department of Health, Education and Welfare
DHUD	Department of Housing and Urban Development
DID	Division of Institutional Development (Office of Education)
DIE	Division of International Education (Office of Education)
DIL	Division of Insured Loans (Office of Education)
DLP	Division of Library Programs (Office of Education)
DMDT	Division of Manpower Development and Training (Office of Education)
DOC	Department of Commerce
DOD	Department of Defense
DOI	Department of Interior
DOJ	Department of Justice
DOL	Department of Labor
DOS	Department of State
DOT	Department of Transportation
DOT	Department of the Treasury
DSSSP	Division of Student Support and Special Programs (Office of Education)
DTEE	Division of Technology and Environmental Education (Office of Education)
DTF	Division of Training and Facilities (Office of Education)
DVTE	Division of Vocational and Technical Education (Office of Education)
EBFA	Educational Broadcasting Facilities Act
EEA	Emergency Employment Act
EEE	Environmental-Ecological Education (Office of Education)
EEOC	Equal Employment Opportunity Commission

EHA	Education of the Handicapped Act
EJA	Emergency Jobs Act
EPA	Environmental Protection Agency
EPDA	Education Professions Development Act
ERDA	Energy Research and Development Administration
ERIC	Educational Resources Information Center
ESAA	Emergency School Assistance Act
ESEA	Elementary and Secondary Education Act
ETS	Educational Testing Service
ETV	Educational Television
FAA	Federal Aviation Administration
FAR	Federal Assistance Review (Program)
FCC	Federal Communications Commission
FDA	Food and Drug Administration
FEA	Federal Energy Administration
FIPSE	Fund for the Improvement of Postsecondary Education
FRS	Federal Reserve System
FRS	Foundation Research Service
FTC	Federal Trade Commission
FTS	Federal Telecommunications System
GAO	General Accounting Office
GSA	General Services Administration
HEA	Higher Education Act
HEFA	Higher Education Facilities Act
HEFC	Higher Education Facilities Commission (State agency)
HEGIS	Higher Education General Information Survey
HPSL	Health Professions Student Loans

HSMHA	Health Services and Mental Health Administration
ISEP	Instructional Scientific Equipment Program (National Science Foundation)
ICC	Interstate Commerce Commission
JCET	Joint Council on Educational Telecommunications
LEAA	Law Enforcement Assistance Administration
LEEP	Law Enforcement Education Program
LSCA	Library Services Construction Act
MDTA	Manpower Development and Training Act
MSA	Medical Services Administration
NACUA	National Association of College and University Attorneys
NACUBO	National Association of College and University Business Officers
NAEB	National Association of Educational Broadcasters
NAS	National Academy of Science
NASA	National Aeronautical and Space Agency
NASM	National Association of Schools of Music
NASPA	National Association of Student Personnel Administrators
NASULGC	National Association of State Universities and Land Grant Colleges
NCA	National Commission on Accrediting
NCEA	National Catholic Educational Association
NCEC	National Center for Educational Communications
NCES	National Center for Educational Statistics (Office of Education)
NCICU	National Council of Independent Colleges and Universities
NCIJC	National Council of Independent Junior Colleges
NDEA	National Defense Education Act

NDSL	National Defense Student Loans
NEA	National Education Association
NEA	National Endowment for the Arts
NEH	National Endowment for the Humanities
NEPA	National Environmental Policy Act (1969)
NFK	Networks for Knowledge
NHLI	National Heart and Lung Institute
NIDR	National Institute of Dental Research
NIE	National Institute of Education
NIH	National Institute of Health
NIMH	National Institute of Mental Health
NLRB	National Labor Relations Board
NSC	National Security Council
NSF	National Science Foundation
NUEA	National University Extension Association
NYC	Neighborhood Youth Corps
OAA	Older Americans Act
OAVTME	Office of Adult, Vocational, Technical and Manpower Education (Office of Education)
OC	Office of the Commissioner
OCA	Office of Consumer Affairs
OCD	Office of Child Development (Office of Education)
OCE	Office of Career Education (Office of Education)
OCR	Office of Civil Rights
OE	Office of Education (Also USOE - United States Office of Education)
OEO	Office of Economic Opportunity

OEP	Office of Emergency Preparedness
OHD	Office of Human Development
OIDIE	Office of Institutional Development and International Education (Office of Education)
OIE	Office of Indian Education (Office of Education)
OL	Office of Legislation
OLC	Overseas Liaison Committee (American Council on Education)
OM	Office of Management
OMB	Office of Management and Budget
ONC	Office of New Careers (Office of Education)
OP	Office of Planning
OPA	Office of Public Affairs
OPBE	Office of Planning, Budgeting and Evaluation
OPH	Office of Programs for the Handicapped
OS	Office of the Secretary
OSA	Office of Student Assistance
OSHA	Occupational Safety and Health Administration
OST	Office of Science and Technology
OWRR	Office of Water Resources Research (Department of Interior)
PBS	Public Broadcasting System
PEP	Public Employment Program
PGIS	Program Grant Information System
PHS	Public Health Service
PREP	Pre-Discharge Education Program
PSCP	Public Service Careers Program
RANN	Research Applied to National Needs (National Science Foundation)

RFP	Request for Proposal
RSA	Rehabilitation Services Administration
RSP	Recreational Support Program
RSVP	Retired Senior Volunteer Program
SBA	Small Business Administration
SCORE	Service Corps of Retired Executives
SEC	Securities and Exchange Commission
SEOG	Supplementary Educational Opportunity Grants
SRS	Social and Rehabilitation Service
SSA	Social Security Administration
SSTP	Student Science Training Program (National Science Foundation)
SYTC	Summer Youth Transportation Corps
TTDI	Teacher Training in Developing Institutions
USIA	United States Information Agency
USDA	United States Department of Agriculture
VA	Veterans Administration
VEA	Vocational Education Act (1963)
VCIP	Veterans Cost-of-Instruction Program
WIN	Work Incentive Program

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RESOURCE PAPER NO. 6

SPECIAL PROJECTS

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Editors Note: In an effort to delineate procedures necessary for appropriate working relationships, through adequate flow of information, inter-office communication and for the clarification of fiscal and administrative operations, the following was developed by Sandy Schneider, Director of Development, Burlington County College, Pemberton, New Jersey. The Board of the National Council for Resource Development has reviewed the procedures paper and recommends it to you as a working model for an institutional development office in handling special projects.

"SPECIAL PROJECTS"

INTRODUCTION: The purpose of this procedure is to define the terms, establish a planning process, describe the steps to be taken in securing grants and set forth the means to be taken in administering special programs.

I. DEFINITION: For the purposes of this paper, "Special Projects" are those programs that are externally funded by federal, state, county or local governments and/or agencies. Special Projects may also be funded by private sources. The revenue may be in the form of a grant, a contract, a special financial arrangement or a cash reimbursement for a special purpose. The special project will usually require the submission of a proposal that includes a budget and covers a specific time period.

II. RESPONSIBILITIES: The responsibility for approving, administering and coordinating all efforts in the area of sponsored grant funds rests with the President. The Director of Development is the college official designated by the President to functionally direct all of the sponsored grant programs.

Specifically, the responsibilities of the Director of Development include:

A. Identifying funding sources
B. Obtaining program information
C. Maintaining a current grants information file
D. Disseminating this information on a regular basis
E. Assisting in the developing of a proposal
F. Budget construction
G. Editing the proposal to conform to agency requirements
H. Completion of any necessary forms
I. Submitting the proposal
J. Keeping official grant files
K. Negotiating with agency officials on the final terms of a grant proposal
L. Approval of all expenditures from grant funds
M. Establishment of appropriate accounting records and procedures (with the accounting department)
N. Project Directors should keep the Director of Development informed when they make any contact with agency personnel. Copies of letters and notes of phone messages should be sent to him for the placement in the grants file.

III. POLICY AND PLANNING: It is recommended that the administrative cabinet of an institution authorize a standing sub-committee of the cabinet to determine policy and establish a plan for resource development within the institution. The sub-committee should consist of the following people:

Director of Development - Chairman
2 Associate Deans of Instruction
Director of Institutional Research
Chairman, Division of Social Science

The specific responsibilities of the sub-committee should include:

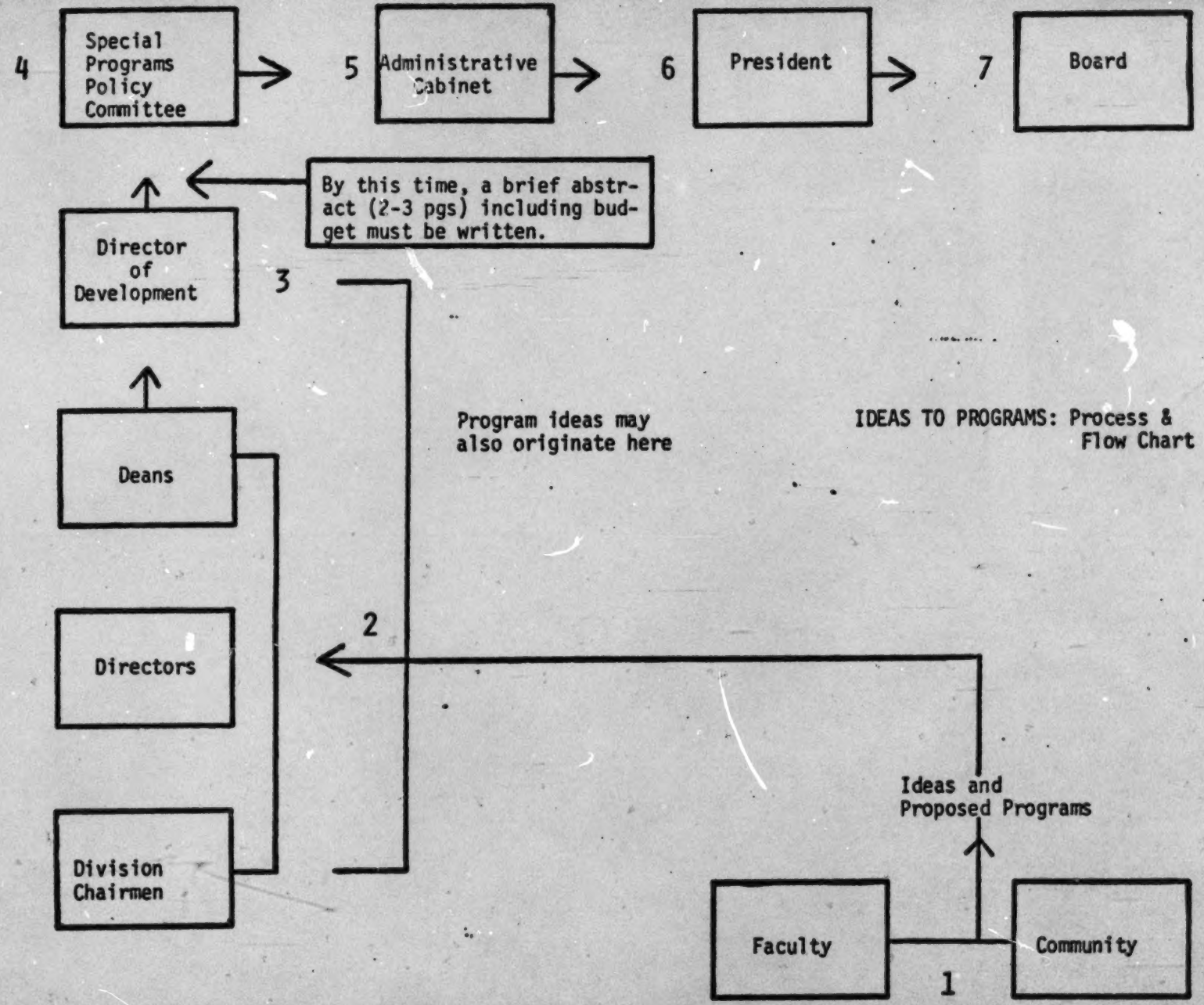
A. Assessment of existing special projects
B. Establishment of goals and objectives for future development of special projects (establish a long-range plan)
C. Evaluation of special project ideas that are originated and proposed for funding
D. Recommendations or rejections of program ideas
E. Provide regular reports to the cabinet
F. Assistance in proposal writing

IV. PROJECT DEVELOPMENT: After approval has been obtained, the responsiblity for developing a viable proposal rests with the Office of Development. The actual writing and allocation of tasks will depend upon the nature of the program. The originating source will take the major responsibility for writing the proposal since that person is probably most familiar with the content and design. The Director of Development will take responsibility for completing forms, assisting with construction of an appropriate budget and final editing and submission of the proposal. When appropriate, members of the special projects policy committee (sub-committee of the cabinet) will be asked to assist in propoal development.

V. THE PROPOSAL: The proposal is the basic document used as the vehicle in obtaining grant funds. A funding agency makes the final decision concerning the project based upon the material included in the proposal. Therefore, this document must be comprehensive and of a high quality. All aspects of the proposer's idea should be included. Depending upon the program, each proposal may contain a number of different parts; the three most important being the narrative, the budget, and the application forms.

Developing the proposal is the joint responsibility of the staff member who conceived the project idea and the Director of Development. The initial proposal draft should be written by the staff member after consultation with the Director of Development and prior approval of the appropriate division chairman and/or dean. After completion of the initial draft, the Director of Development will then assist with the editing in order to tailor the proposal's style and design to conform with generally accepted agency standards.

Once this narrative has been written, the Director of Development and the staff member should construct a budget which translates the program ideas into dollars.



IDEAS TO PROGRAMS: Process & Flow Chart

VII. SUBMISSION: The actual submission will be made by the Director of Development. Each staff person who is involved in the project will receive a copy of the final signed proposal document.

VIII. FUNDED PROJECTS: Administering the Grant

A. The college will receive a Notice of Grant Award when a project has been funded. The Notice of Grant Award is the formal document that sets forth the beginning and ending dates of the projected and budget periods, the amount of the award, the approved budget for the current budget period, the future support recommended for each budget period of the project, and any special conditions or restrictions affecting the award. As a grantee, the college has now been awarded funds on the basis of an approved application and assumes legal and financial responsibility and accountability for use and disposition thereof.

The Notice of Grant Award is sent to the President who must formally accept the money on behalf of the institution. This is necessary since the money is not awarded to any individual, but to the college. The President is, therefore, the only one authorized to accept the grant.

B. Upon receipt of the official notification, the Project Director (the individual designated by the institution and identified in the proposal as the person actively responsible for the overall conduct, direction and supervision of the project), the Director of Financial Operations and the Director of Development should meet to determine the specific details needed to administer the grant properly. Among the steps that must be taken are:

1. Placement of the money into a restricted account.

2. Establishment of an internal budget with appropriate codes that coincides with the major budget categories as approved by the funding agency.

3. Establishment of procedures and timetable required to requisition the cash from the sponsoring agency. The implementation will be the joint responsibility of the Director of Development and the Director of Financial Operations. Functionally, the Director of Financial Operations will take care of the necessary details with the Director of Development monitoring the process.

C. Authorization and payment from grant funds

1. The Project Director has the authority to initiate all action for payment upon a request over his signature. A second approv is necessary in order to complete the payment procedure. This second signature by the Director of Development is in order to verify that the funds are being spent as stipulated under the terms of the grant. This approval does not indicate program approval or disapproval; such judgements are under the control of the Project Director.

2. All payments from federally funded programs to individuals on the college staff must conform to the following:

   a. Agency and/or program guidelines
   b. College policy
   c. Grants Administration Department Staff Manual (HEW TN 68.1 (5/3/68) and circular A-21 OMB September 20 - 1970)

In general, professional employees may not earn in excess of their regular college salary while under contract as a full-time employee. Exceptions to this rule must have the prior written approval of the funding agency and the President of the college.

   d. This procedure also applies to payments made to individuals, organizations and companies not associated with the college.

   e. In the case of private or foundation grants, expenditure of funds will be consistent with guidelines set forth by the particular organization and in accordance with existing college policy.

   f. When a question arises concerning the interpretation of a procedure or a regulation, the Director of Development should contact the appropriate agency in order to clarify the situation. The matter would then be brought to the attention of the President who will make the final decision since he is the college official finally responsible for the grant and is fiscally accountable.

D. Communications, Records and Reporting

In order to continue close coordination between the principal parties involved in grant programs, the following steps are necessary:

1. At the beginning of each grant period, the principal parties (Project Director, Director of Financial Operations and Director of Development) should meet and set up the initial budget categories and procedures to be followed.

2. A monthly meeting should take place between the same people to continue dialogue and work out any potential problems, budget transfers and any other unusual characteristics peculiar to the subject.

3. Initiation of all expenditures from the Project Director. Final authorization from the Director of Development.

4. Maintenance of a complete set of administrative records by the Director of Development.

5. Maintenance of a complete set of fiscal records by the Director of Financial Operations.

6. Program materials will be the responsibility of the Project Director.

7. All contacts with the granting agency must be cleared through the Director of Development.

8. The Director of Development will coordinate reporting efforts by ensuring that the required reports are filed by the Project Director and the Director of Financial Operations.

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RESOURCE PAPER NO. 7

THE ROLE OF THE PROFESSIONAL EDUCATOR AS THE COLLEGE DEVELOPMENT OFFICER

by

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the Florida Council for Resource Development

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THE ROLE OF THE PROFESSIONAL EDUCATOR
AS THE COLLEGE DEVELOPMENT OFFICER

This is an area in which I have a great deal of interest, perhaps from a different point of view than that of the points you have been talking about during the last couple of days. This is what I really want to talk about: a different point of view. As Harvey Sharron and I talked about the topic I should discuss, it appeared to us that I really ought to have some opportunity to emphasize your role as a professional educator. You aren't a hustler; you aren't a huckster; you aren't a money-raiser; you are really a professional educator and that is the basis on which these remarks are developed.

Those of you who have studied college administration are well aware of the fact that there are basically five functions which must be accommodated if you are going to administer a college or university. These functions are found in any institution. They include, first of all, the executive function which normally is centered in the President or the President and his closest advisors. This is a necessary function for the operation of any institution, whether it be educational, business, military, governmental, or any other kind of organizational structure.

Then there are four other functions which really are peculiar in many ways to the operation of an educational institution. One of these is the instructional function, the academic function. This is a definable function which is usually centered in someone who is called Dean or Vice President for Instruction.

There is the student development function which is designed and centered around providing services to students - services they need outside of class - helping them to get registered, helping them to find out what needs they have in order to carry out their educational activities.

Then there is a business operations function which we usually center in a Vice President for Administration or the Business Manager who, in some instances, may think that the institution revolves around that function but, in other instances, recognizes the function as a service to the college student.

The final function is one which is usually neglected in most institutions: the college development function, the function which is designed to develop the college as a total institution. This is really what your major responsibility should be, although quite often it is not clearly defined in the descriptions of the job that people carry out.

If you sit down to analyze these five functions, it will appear to you very rapidly that they have a relationship with each other and the manner in which each function is accomplished has been the subject of concern to many who seek to improve the operational management of colleges and universities. This has been especially true during the past ten to fifteen years.

Starting with Rourke and Brooks and their important little volume on The Managerial Revolution in Higher Education, and then continuing on with Millet, Richardson, Blocker and Bender, Lehti, Kerr, as well as many others with whom you are familiar, we have had increasing emphasis placed upon the revolution in college management. Line and staff relationships have been analyzed continuously. The varying concepts of bureaucratic management have been pulled apart and put back together again. They have been criticized and supported. Boxes and solid lines have been exchanged for circles and dotted lines, overlapping and superimposed. Etsioni, Likkert, Herzberg,

Simon, Avantzavich, McGregor, Drucker, all of these saints of modern management theory, have been consulted and their ideas have been used in trying to develop a better way of managing an institution of higher education. Emphasis upon quality has been sought through focus upon the concept of quality control, through accreditation, and through evaluation involving procedures for achieving a better accountability as well as improving operational activities through a systems approach to administration. We must all admit that improved college management is a worthwhile goal and it is achieved through the use of techniques developed through modern management theory as well as through the application of well-proven procedures related to the systems approach and organized quality control. We must also recognize, however, that people still constitute the key to any administrative team and that it is essential to know that a college is not an industrial corporation, nor is it a "production line" operation. A college must have personnel who can apply the principles of management theory to a collegiate situation in an appropriate way.

The administrative team must be constituted then of educators who understand that a collegiate institution is based on some goals such as these:

First, the concept of accountability may be instituted by defining outcomes, by differentiating processes and by evaluating results for all the undertakings of the institution. This is not an easy thing to do. One of the little volumes I was reading in connection with preparing for this paper was New Directions in Institutional Research which is published by Jossey-Bass through the Association for Institutional Research. I guess this was one of the first volumes they published on evaluating institutions. There is an article by Howard Bowen in which he outlines very specifically (and I think very cogently) the difficulties which are involved in evaluating institutions through the process of accountability, e.g., defining outcomes, inputs, costs benefits, as well as the kinds of problems associated with doing these things for an educational institution. If we are really serious about the concept of accountability, we need to begin by this process of defining outcomes and this is a part of the concern of the Development Officer as a member of the total administrative team.

Second, the educational program will be provided through a process which accomodates individual differences in learning rates, aptitudes, and prior knowledge. There is probably no institution that should be more conscious of this than the community college. Many of the kinds of projects and concerns that you have in getting that little extra bit of money which makes all the difference in a quality institution and a namby-pamby one is dependent upon getting the money to help you do some of these things which do not come through ordinary resources.

Third, an institution should be developed whose total environment is dedicated to learning and is open to those who desire to learn. Another concept which is very much involved in the operation of the community college, and which we tend sometimes to forget, is the concept that all students are important. The first things that people start to discard in times of stress are the things that really make the institution special, different, and important. This fall, I'll bet that some of the Florida colleges will be quite willing to discontinue in this time of stress the things they are doing for students who are not the ordinary type of student, for the students who need special help. This will happen just as we are beginning to get a better and more equitable representation of the minority students and of women and older people. We will in all likelihood curtail faculty development programs and institutional research. We are going to begin for the first time, in a few institutions, a limited enrollment policy which will probably use high school senior placement test scores for admission quotas.

I understand and I emphathize with the problems we have in serving all the students who should be served, but I think that when we back down on some of the

basic principles on which the institutions were established, then we are in the process of destroying the institution as it was originally conceived.

A fourth goal is that the total community should be utilized as a laboratory for learning. This is something to which we have given little attention, something to which the Resource Officer, the Development Officer must give particular attention because he may be the only one on the administrative team who is conscious of this.

Fifth, a program for continuous institutional evaluation must be developed and implemented. In other words, we must provide for evaluation of all the programs in the institution.

Sixth, an institution must be developed which is administered with due consideration for rational management that allows the individual to grow and develop within the organization and provides for appropriate participation in the governance of all the constituent groups.

A seventh goal is that the educational program provided in the institution prepares students for entry into and appreciation of actual careers, not some imagined career or something we think ought to be happening in the community, but what actually is happening in the community.

Eighth, an educational program is provided that facilitates human development.

Ninth, an educational program is provided that facilitates the development of a broadly educated person.

Tenth, an educational program is provided than engenders in each student a concern for excellence and a desire for continuous learning.

And finally, programs and activities are designed and implemented that contribute to the educational, economic, social and cultural development of the host community.

Now, it may occur to you that these are the goals which are not of particular concern to the college Development Officer, but this is the point I want to make most strongly in this speech: these are goals which are of concern to you. Your concern is not in getting money for the institution, but in finding ways of implementing the goals described above. If it takes more resources to implement some of these goals, then that fits into the total pattern as a part of your responsibilities, but not as the center and focus of your responsibilities. The particular goals which I have outlined were used in Brookdale, New Jersey, and have been the basis for their management by objective development there. You can see how it might be very appropriate for anyone such as yourself to develop your own management objectives in line with the goals of your institution. These goals are important to each member of the administrative team and they are important to the total faculty. If everyone sees their job in the perspective of the goals of the institution, then you have started in the right direction.

It is particularly important that the Business Managers and Development Officers be recruited from the areas of occupations which have education as a professional background. There have been suggestions of late that it might be easier if the Board of Trustees had a Business Officer reporting directly to them for business and an Educational Officer reporting directly to them for the educational program. I would suggest that this sort of divided administrative structure is not one that is sound and solid because it would create a divided institution in which business operations, for example, would become the major purpose of the Business Officer and educational problems the major purpose of the Educational Officer. Somebody would still have to be

President and that individual should not be Chairman of the Board which would be the obvious result if the total goals of the institution are not being considered by the total administrative team.

Ayers and Russel in their 1962 analysis of the organization and administration of colleges and universities noted that the officer in charge of development should do the following things:

First of all, the officer in charge of development should be responsible for developing an integrated program which defines, popularizes, and secures acceptance of the major goals and objectives of the institution and for relating them to the institution's various policies. Even back in 1962 they were talking about a development and public relations officer who was sensitive to the major goals and objectives of the institution.

Second, he should be responsible for keeping before the college officials and the general public a list of the most specific current and long-range educational, fiscal and financial objectives and programs approved by the Board of Trustees, together with means and techniques for achieving them.

Third, he should be responsible for developing and putting into effect policies and procedures for maintaining information and news services of excellence and for providing a supervisory arrangement for the release of information through the mass media. Emphasis once again is on providing information to the public.

Fourth, he should be responsible for formulating policies that govern the content, form, scope, and distribution of all college publications of a promotional character, and, in cooperation with other major officials, supervising the production of the annual catalog, student publications and similar publications.

Fifth, he should be responsible for developing means and techniques for promotion of a strong bond of loyalty and friendhsip between the institution and its alumni, the parents of students, the college sponsors, and similar special interest groups.

Sixth, in close cooperation with others he should develop and execute policy for the guidance of campus and facility planning and provide for its supervision.

Seventh, in close cooperation with the President, he should be responsible for presenting the needs of the institution to philanthropic organizations, to individuals, to industrial and commercial corporations, to the sponsors of the institution, and to the prospective donors for capital costs of operating the college. (You notice that item 7 says in cooperation with the President; the others say the officer in charge of development will be responsible. Item 7 ties the officer up with the President as do items 8 and 9.)

Eighth, under the direct supervision of the President and in close cooperation with the Business Manager, he should assist in the interpretation of the current financial program of the institution to the Board of Trustees and other pertinent individuals and officials.

Ninth, as directed by the President, he should promote the interest of the institution before agencies such as those in the Federal government with resources for financing desirable programs.

Tenth, he should be the administrator of the department and the resources of his department in the college.

Well, as you know, these were written in 1962 before very many Federal bills for

support of higher education in particular had been developed. More recently, in 1973, Bender, Richardson, and Blocker described the Director of Developmental Services in five specific and direct statements: he should arrange for location of Federal funding; he should assist the President in increasing state support; he should prepare and carry out proposals to foundations; he should encourage private giving; and he should be in charge of alumni affairs and ways of tapping this source of funds.

The change from what Ayers and Russel said in their summary and what Bender, Richardson, and Blocker said in theirs is mainly a change from an interest in interpreting and helping the development of the total face of the college to the public, to a concentration almost entirely upon developing sources of funding. I think there is probably a place somewhere in between this that I would really prefer to see assigned as the responsibility to this officer. The Federal laws that were developed through 1962-65 in particular have changed the emphasis in this particular office from the interpretation of goals and carrying out general duties that were outlined by Ayers and Russel to these more specific relationships with sources of funding. It is, however, more important than an individual be on the administrative team which understands the professional obligations, responsibilities, and commitments which are required in carrying out the goals of the college program.

Ed Gross in his dissertation at the University of Florida examined the effects of Federal funds upon an institution and he noted that it is important the the funds brought into the institution under Federal grants have some very special relationship to the total program of the institution. Here I go back to what seems to me the most important responsibility which you may have and one to which you need to be particularly sensitive. If you cannot find support in keeping with the goals of the institution and if the ways of supporting the institution from sources other than the ordinary sources do not fit into the goals or mission of the institution, then you are barking up the wrong tree. You are hindering, not helping, the college. The funds which come from sources other than the ordinary sources must enhance the existing program and must provide for continuing services to programs which are already in existence. They must be used to start new programs which can be absorbed into the regular on-going college responsibilities. Funds should be obtained in such a way that they will provide for continuing services in areas, with appropriate wind-down activities so that the programs will not be left high and dry and unsupported when the funds are gone. They should involve the faculty in planning as well as in the implementation of all requests or proposals for gifts and grants.

In other words, these kinds of activities can only be carried out effectively by one who is a professional educator, who understands the responsibility of the college, and who is an accepted member of the total faculty. He cannot be an entrepreneur; he cannot be a hustler; he cannot be someone who operates outside the college goals and purposes. It is the duty and responsibility of this individual to be a professional educator first, a part of the team who understands the total college program.

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RESOURCE PAPER NO. 8

PROFILE OF FEDERAL PROGRAMS ADMINISTRATORS IN MULTI-UNIT COMMUNITY COLLEGES

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PROFILE OF FEDERAL PROGRAMS ADMINISTRATORS IN MULTI-UNIT COMMUNITY COLLEGES

The rapid growth of community colleges has resulted in diverse organizational and management structures. As an educational institution with the expressed goal of responding to community educational needs, the community college has been creative in organizing for its task.

Concurrent with accelerated growth has been increased competition for funding. In addition there are more requirements for fiscal and program accountability. This keen competition and emphasis on accountability has also resulted in community colleges seeking external funding through Federal and private grants.

There is a need to assess the role and status of resource development in community colleges. As competition for Federal funds and other external funding sources becomes more critical, the community college must improve its competencies in grantsmanship. Skills must increase in order to effectively compete with the more experienced four-year colleges and universities.

In order to relate the development function to the organizational structure of multi-unit community colleges, an informal questionnaire was sent to colleges defined as multi-unit community colleges according to the American Association of Community and Junior Colleges. This list included seventy-six colleges. These colleges were made up of 213 campus units. As of October, 1974 they represented an enrollment of 1,082,759 students. The responses to the questionnaire were compiled as of October, 1975. In addition, job descriptions and other information the respondents considered appropriate were also solicited. Forty-nine out of seventy-six questionnaires were returned (64.5 per cent).

The questionnaires included five items:

1. Federal programs officer job title.
2. Administrator to whom the federal programs officer reports.
3. Primary functions.
4. Additional duties and responsibilities for federal programs officers.
5. Job titles of individuals that the federal programs officer supervises.

The survey was informal in nature. The questionnaire was not validated as a technical instrument. Rather, it was an inquiry of colleagues in community college resource development regarding their positions within the multi-unit management structure.

All responses indicated assignment of the grants development and management function within the administrative structure. However, in 65.3 per cent of the cases the job title reflected grants as a primary function. 34.7 per cent had other titles that indicated grants as a secondary responsibility. Five responses indicated that grants responsibility rested with division chairpersons, and no centralized responsibility was assigned.

A complete alphabetical list of titles of federal programs officers follows:

Administrative Assistant
Administrative Assistant for Personnel and Federal Programs

Administrator, Office of Gifts, Grants and Contracts
Administrator, Research and Development
Assistant Coordinator of Planning and Development
Assistant Superintendent of Instruction
Assistant to the President
Assistant to the Superintendent, Instruction
Assistant Dean of Administrative Affairs
Associate Dean, Student Services
Chairman, Federal Projects
College Development Officer
Coordinator of Federal Grants, Reports and Budget
Coordinator of Grants
Coordinator of Placement and Financial Aids
Coordinator, Planning, Research and Development
Coordinator of Research and Development
Coordinator of Special Projects
Dean for Development
Dean of Research and Development
Dean of Students
Development Officer
Dean of Student Affairs
Director of Development
Director of Development and Federal Programs
Director, Federal Vocational Programs
Director, Governmental Affairs
Director, Grants and Contracts
Director of Program Development
Director of Research
Director, Resource Development and Student Personnel Services
Director of Special Services and Governmental Relations
Director of Financial Operations and Business Services
District Director of Vocational Education
District Resource Development Officer
Federal Funds Accountant
Federal Projects Coordinator
Grants Coordinator
Instructional Resources Consultant
Project Development Specialist
Resource Development Officer
Research and Development Officer

One indicator of position in an administrative structure is the title to which a position reports. The questionnaire information on this topic can be viewed from two perspectives:

1. A listing of all job titles to which federal program offficers report.

2. A grouping of administrative levels of the various positions with the number of federal program officers within each group.

The complete list of job titles of supervisors of federal program officers follows:

Superintendent
Assistant Superintendent, Business
Area Vice President, Administrative Services
Special Staff Assistant, State and Federal Relations
President

District Director
Coordinator of Planning and Development
Dean for Administrative Affairs
Dean of Students
Assistant Director, Research and Planning
Director of Financial Services
Assistant Superintendent, Student Personnel Services
Assistant Director, Operations
Instructional Services Director
Assistant Chancellor, Instructional and Student Services
Executive Vice President
Vice Chancellor, Educational Planning and Development
Dean of Instruction
Chancellor
Comptroller
Assistant Director, Financial Operations
Vice President for Development
Assistant Director, Instructional Operations
Director of Resource Development
Director of Planning

The supervision of federal programs officers is summarized as follows:

	Number	Per cent of Total
Chief Executive Officer	17	38.6%
Vice President, Vice Chancellor or Assistant Superintendent	12	27.2%
Dean	4	9.1%
Director	8	18.2%
Other	3	6.9%
		100.0%

Twenty-nine or 65.8 per cent of the federal programs officers report to the op two levels of administration.

The functions and responsibilities of their position as reported by federal programs officers were very consistent. The functions could easily be classified as ommon to the individuals responding to the survey. However, the federal program uties were not as clearly established when Federal programs were secondary to some ther administrative function.

The reported functions are summarized as follows:

1. Search and inquiry for programs and funding sources. This includes foundations as well as government sources.

2. Dissemination of program information and notification of college staff.

3. Maintain a grants library. This includes agency information and other literature related to grantsmanship. A master file of projects and information sources was also reported as part of the library.

4. Monitor and service funded projects. This responsibility was emphasized because of concern with accountability in meeting grant terms and conditions. The responses were more detailed for this function. The emphasis was on financial accountability. For example, maintaining supplementary accounting

records and review and approval of project expenditures were reported as critical responsibilities.

5. Liaison with funding agencies. Funding agencies are defined as state and local as well as Federal. Private industry and non-profit organizations are also involved in liaison with community colleges.

6. Coordination and negotiation of contracts with agencies. If the federal programs officer does not directly negotiate for educational services, he or she is reportedly involved in coordination of negotiation efforts.

7. Technical assistance in proposal development and writing selected proposals. The respondents emphasized soliciting proposals from college staff and assisting staff in proposal writing. Proposal writing by federal programs officers is reportedly limited to selected proposals.

8. Relate proposals to institutional goals and development. The respondents presented this function as a screening of proposals to insure projects will be accepted that are within the scope of the institution.

The other duties assigned were more variable than the primary functions. In the case of a Dean of Students or Director of Financial Aid serving as the grants officer, the federal projects' functions were expressed in very general terms, and secondary to their other responsibilities.

The other areas of responsibility are summarized as follows:

Personnel Administration
Career Education Director
Institutional Research
Staff Development
Public Relations
Institutional Planning
Financial Aid
Capital Construction
Budget Development
Student Services
Management Advisory Service to President
Student Follow-up
Curriculum Development
Local Vocational Coordinator
College Inventory Control
Foundation Management
Monitoring Attorney General Decisions
Represent Institution on Committees and at Conferences
Accounting Supervision

The most often reported other functions were associated with institutional research and long-range planning and development.

The responses to the question regarding individuals reporting to federal programs officers indicates that this function is generally carried out with minimal assistance. Out of the forty-two respondents whose primary responsibility was for grants:

Twelve or 29 per cent had staff assistants. This ranged from one to six staff members.

Thirteen or 31 per cent indicated that they supervised secretaries. The number of secretaries ranged from one to three.

According to the information requested, there are definite trends in the characteristics of the grants function in community colleges.

The grants function is most often assigned as a primary responsibility to an administrator. The most common job title assigned is "Director". The placement of "Director" in administrative hierarchies is variable. However, the grants administrator is likely to report to the chief administrative officer or to a second level administrator. The administrator probably supervises a secretary. The prime responsibilities are grants management, technical assistance in proposal development, and liaison with agencies. Additional responsibilities are variable but there is a trend toward assignments in institutional research and development.

Finally, the responses indicate that the function is recognized as vital in serving community college students.

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RESOURCE PAPER NO. 9

THE SMALL COLLEGE AND FEDERAL FUNDING

By

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September, 1976

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THE SMALL COLLEGE AND FEDERAL FUNDING

The Federal mystique which is often associated with larger institutions' abilities to tap Federal resources is often somewhat overwhelming to the smaller institution whose administrators, faculty and staff carry a much larger proportion of the responsibility for the total institution's on-going efforts.

It is important to realize, however, that the smaller institution, the rural institution, is often only a microcosm of the larger urban institution. As such, the similarities (and differences) are not necessarily mandatory to the success of your institution in its involvement with Federal agencies and their fund disbursements.

Operating within this microcosm (if that is indeed an appropriate analogy), a small institution has many strengths upon which to draw. Recognizing that all generalities are false, let us deal in generalities for a moment and identify some of the particular strengths of a smaller rural institution. First, you are a close integral part of your community with a recognized leadership role. Secondly, you have great potential as a cultural enrichment center within your community. Thirdly, you have an opportunity to directly serve your area as an initiator facilitator of economic development.

There are, of course, other strengths--a long list of them--but how do you relate these to additional funds for your institution, and then translate those strengths into a formula for action?

You have probably identified at one time or the other those activities which you consider to be first and foremost needs. Being an integral part of your larger community, the probability is that you have also identified needs that you could meet for the community per se.

The list of funds that are available to you to assist in meeting your needs is long and varied. Identified needs, then, are the first part of a formula for action. I will provide a list of potential sources, but suffice it to say at this point, that the second part of the formula would be <u>needs</u> flowing into <u>sources</u>. The third part is an obvious one, and that is the matching of the needs with the potential sources. Once you have been able to do this, <u>then</u> you can proceed towards action. You can proceed with conceptualizing ideas which have as their thrust the meeting of your basic needs. Following the identification of ideas, it is up to you to make contacts in order to get input into the validity and workability of any one idea.

The next step (and one which is frequently overlooked) is the explanation of the idea or plan to your community leaders in order to solicit their support.

When I suggest broad sharing discussion (and the request for input into a project or plan of action) it always reminds me of the story that I was once told about a school superintendent. In working with a new principal, the superintendent gave the principal some advice. It seemed the principal's hardest task at the time

was to present a request for funds to the school board, and to appear before the community funding hierarchy with new program requests. The school superintendent advised him that before he sent anything to anybody, that he ought to pay a visit with the school janitor and let him hear the plan and respond to it. The superintendent's point was that the janitor, who had lived his entire life in the town, had a far more sensitive finger on the pulse of public opinion than did either the principal or the superintendent himself. And, the superintendent added, the only time that the janitor had ever given him bad advice was when the man's desire for a new furnace outweighed his knowledge about the townpeoples' attitude about an increase in spending.

The story makes two points. The first one is that too many good ideas have been defeated because the sponsors did not take the time to explain their plans and to get the support of the community leaders. And the second point is that the initiator of a plan always must weigh opinions of others against his or her own perception of the situation.

If the request for funding does not fly, it may mean that the initiator has simply not done an adequate job of describing the importance of the need, and/or that the program itself does not really answer that need, or, he or she has not talked to the right people.

The key factor in any formula for action related to Federal grantsmanship or the receipt of Federal funds is communication and coordination. The Federal legislative base for the majority of the funded programs has a state level, and in many instances, a local regional planning level that must be contacted in order to secure Federal support for individual projects.

But where do you start in examining appropriate legislative bases? Most of you are very familiar with a wide variety of Federal programs which have impacted on your institutions.

If they were categorized in a simple listing, the chances are you will have had dealings with several. For our purposes, however, let me review with you my list, with the possibility that you have not considered several sources which may hold potential for your institution.

1. The Department of Agriculture
2. The Department of Commerce
3. The Department of Defense
4. The Department of Health, Education and Welfare
5. The Department of Housing and Urban Development. Community development projects may be financed under new Federal revenue sharing legislation. The main exception is that no construction of college facilities are allowable.

   Enacted January 1, 1975, the Housing and Community Development Act replaces a number of older programs including Urban Renewal, Model Cities, Water and Sewer Facilities, Open Space Land and Rehabilitation and Public Facilities loans.

   The local regional planning districts and the local government units are involved. But proposals are being entertained from two-year colleges for services offered.

6. The Department of the Interior
7. The Department of Justice
8. The Department of Labor
9. The Department of Transportation
10. The Appalachian Regional Commission
11. The National Science Foundation
12. The Water Resources Council
13. The Environmental Protection Agency

In order to discriminate effectively between available sources of funds, it is helpful to have a series of questions or basic procedures which will serve as a basis of decision-making, if in no other way than by providing a process of elimination. The following series of procedures or questions should provide an indication as to whether or not the particular funding source being approached is the best potential supporter of educational needs:

1. Study the legal base. Initial questions usually are answered by a study of the actual law which mandates the availability of the funds. Copies may be obtained from local Congressional representatives' offices in the case of governmental funds. Foundations and other private sources have similar legal or corporational guides which control their fund releases.

2. Guidelines. Study the published guidelines (available at no cost from the individual governmental agencies) for limitations, data/research requirements, the format of the actual writing, etc. A description of the intent of the law is ordinarily provided as well as any restrictions, requirements for qualifications, limitations of funds, personnel and/or activities. Federal, regional and/or state program officers may be indicated for advisory purposes.

3. Find out the total funds available. In the case of governmental funds, it is important to distinguish between the amount legislated and the amount appropriated. If the total funds available to a particular agency are limited, this usually will determine the size of the average grant. It is also helpful to know the percentage of awards in relation to the number of requests made to the agency in order to judge the competition factor.

4. How are funds allocated? Are they formula or discretionary grants? Are they awarded through state agency or directly to the institution from a Federal agency? Is there regional or state control? Does a state educational agency have sign-off responsibilities?

5. What is the usual funding time period? Is the usual length of time one year, three years, five years?

6. Requirements for matching funds. The level of Federal or governmental support may impose restrictions on the institution and may create more financial problems than the grant will offset. Some Federal grants require as much as fifty per cent matching funds from local or state sources. Others have no matching requirements. If there is a matching requirement, is it actual outlay, in kind, etc.?

7. Size of the average award. If the typical grant is $10,000 and the project under consideration is calculated at $100,000, a different source of support should be sought, obviously.

8. Grant awardees. Most of the Federal agencies, and many of the private foundations publish a listing of the current year's grant recipients. It is advisable to study the characteristics of the institutions and the titles of their funded projects as an aid in determining the appropriateness of the project and individual institution's competitive possibilities. The agency priorities are often reflected rather clearly in the descriptions of the typical grant and its recipient.

9. Deadlines. The final date for proposal or application submission should be checked early. The actual writing of the project description may only take a few days of concentrated effort, but planning, information collection and the totality of the decision-making inherent within the proposal development may require many months.

10. Budget and allocation of funds. Since budgeting is a prime consideration, it is important to know when and how much of the total grant will be available to the grantee. Delays in receipt of funding are not unheard of, and if this possibility is anticipated and the length of delay is included in the planning, large initial costs to the institution may be avoided. Consider the Federal agencies' budgeting procedures. Accounting procedures are often complex or inflexible to the point that an extremely large project may be unwieldly in the demands it places on the institution's business office.

11. Continuation of programs. One of the initial considerations should be the feasibility of underwriting the program after a funding announcement has been received and contractural agreements fulfilled. The institution must evaluate its ability to provide funds from other sources to support the continuance of the program, or see its way clear to assume the continued support, assuming the nature of the project is such that it is to be an on-going effort.

12. Interrelated sources. Dependent upon the nature of the project under consideration, it may be feasible to solicit and receive support from multiple sources simultaneously. This approach has several inherent problems. If, for example, the total request involves separate but interrelated proposals from multiple sources, there will be a difference in deadlines, in the application procedures and the award dates. The success of the project may be in jeopardy if it is dependent on funds from three sources, for example, and only two (or one) of the agencies review the proposal favorably and award the funds.

13. Contact the funding agency program officers. This may be the single most effective means of determining whether or not the project idea is compatible with any one particular source of support. While they will not be able to assure actual funding, they are usually willing to provide technical assistance and give indications of funding priorities if approached well in advance of deadlines.

RESOURCE PAPER NO. 10

GOVERNMENT RELATIONS IN COMMUNITY AND JUNIOR COLLEGES: SOME PERSPECTIVES

By

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September, 1976

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GOVERNMENT RELATIONS IN COMMUNITY AND JUNIOR COLLEGES: SOME PERSPECTIVES

Governmental relations has emerged as a relatively new phenomenon in community colleges. The impetus for this sudden emergence can be attributed to several interrelated factors: 1) the vast dollar investment of the Federal government, either through direct grants to institutions or through the channelling of funds through state agencies, 2) the pattern of state funding, 3) the increasing amount of legislation at both levels, 4) the complexities of Federal and state organization including structure, communications and personnel, and 5) a desire by community colleges to gain their "fair share" of Federal and state funds.

Coupled with these factors is the demand for more extensive educational services and a proportionate decrease in the availability of local public and private money to fund programs. With such a decrease, the over-burdened tax and endowment dollar is stretched to its limits, giving rise to the desirability of more governmental involvement and investment in education at the post-secondary level. Involvement and investment create a partnership between government and the institution - a partnership which requires mutual awareness, understanding and responsiveness.

It is the purpose of this discussion to explore some general approaches to governmental relations for community and junior colleges and to suggest specific steps an institution can employ to improve its governmental relations program.

In exploring the concept of government relations for the community college, one sees two categories. They are the legislative process and agency functioning; both are found at the Federal, state and local levels.

The Federal Level - Legislative Process

The involvement of the institution in the Federal legislative process occurs individually and in concert with the American Association of Community and Junior Colleges (AACJC). Within AACJC its Commission on Governmental Affairs is charged with the responsibility of exercising leadership in interpreting, evaluating and recommending approaches to legislation which affect and benefit two-year colleges. Although the AACJC Commission does work with local and state issues, its primary function is to maintain a national perspective. The state and local issues in many instances simply reflect national concerns, which, when analyzed, can provide a framework for resolution of state and local problems. Through the Office of Governmental Relations at AACJC, the interests and concerns of two-year colleges are articulated.

In addition to its ties with AACJC, the institution should work with its individual representative independently. Contact with legislators is important for several reasons. First, the Congressional representative can be an informational resource. His or her office can provide an individual at an institution with information concerning the status of pending or existing legislative programs, the names of personnel to contact at various Federal agencies as well as the current conditions at specific agencies. Further, the legislator's

office can act as a point of contact for proposals submitted to agencies.

Second, the institution can impact proposed or pending legislation. It should work with its individual representative in order to articulate its position on legislative matters which specifically affect community and junior colleges. Local contact with Congressional representatives is mandated by the fact that the activities of the institution and the Congressional representative affect the same constituency.

Elected representatives serve on committees which propose, develop, modify and recommend legislation. Although the focus of attention has been on the House and Senate Committees on Education, often other committees, such as the Aeronautical and Space Sciences Committee and the Public Works and Transportation Committees, deal with "education" legislation under different rubrics.

The Federal Level - Agencies

Congress enacts legislation, but its interpretation and implementation rests with the Federal agencies of the executive branch of the government. The intent of the legislation is carried out through the executive and quasi-executive agencies such as the Department of Health, Education and Welfare, the National Science Foundation and the National Endowment for the Humanities. Once legislation is passed and funds are appropriated, the particular agency is charged with the responsibility of developing guidelines and regulations which ensure that the intent of the legislation is carried out. It is at this point that two-year colleges should get involved in framing the program. Too often, Federal agencies have been remiss in not seeking the advice of institutions in the development of guidelines and regulations. The importance of the guidelines and regulations cannot be emphasized enough because these documents will direct the course of funds for specific legislation. Proposed regulations are published in the Federal Register, a daily U.S. Government publication. Comments are invited by a specified date and are usually published in the Register at the time the regulations become final.

Once the regulations are completed and deadlines for submission of applications are set, the college initiates direct contact with the particular agency assigned responsibility for the program to develop a proposal for consideration. The college works through one of the agency's regional offices or directly with the Washington-based agency in order to ensure the proper execution of the application and, eventually, funding.

Most Federal agencies do not have a community and junior college awareness; the number of two-year college experts on the staffs of most agencies is miniscule. However, agencies which are working under manpower ceilings often alleviate this problem by calling in as consultants individuals with community and junior college interest and experience. This is particularly important in the review and evaluation of proposals developed by two-year colleges. Too often, proposals which deal with community and junior colleges are read by individuals unfamiliar with these post-secondary institutions. College personnel should maintain contact with Federal agencies and make their services as consultants and proposal readers available to them.

Thus, through direct contact in the development of guidelines and regulations and in the review of proposals, the institution can take an active role in agency

functioning at the Federal level.

The State Level - Legislative Process

In addition to the institution's relationship at the Federal level, it should also be involved with the state legislature. Its involvement with the legislature is, by necessity, on two fronts: 1) with state appropriations, and 2) with acts which affect the community and junior college.

It most states, a portion of the budget of a two-year college comes from monies appropriated by the state legislature. Also, in many states, the legislature does not meet in continuous session. Therefore, if the colleges are to receive adequate funding levels they must make demands and project these demands over an extended period of time. Since the legislators control the "purse strings", the involvement of the college is mandated in pre-session, "continuing" session and post-session activities. The community college involvement in the development of state formulas for academic, occupational-technical, adult education or other programs requires that the institution understand its own fiscal operations in order to interpret its needs to the legislature. Too often, at the state level, the legislature does not necessarily carry out the wishes of the state agencies, particularly in planning for new colleges. In this situation, the college should support or criticize its state agency plans in an effort to ensure equitable distribution of funds.

In addition, the comprehensive community college will need to understand the process and priorities of legislative programs other than those directly affecting education. For example, those institutions involved in community mental health programs should monitor legislation and appropriations relating to mental health. Any legislative package in this area could affect the college's programs.

The significance of such a situation requires that the college establish linkages with social service agencies, e.g., community councils or governmental agencies or municipalities in order to state its case before legislatures and/or state agencies.

As in any legislative organism, "pressure groups" play an important role. The local institution, especially in those geographic areas where state organizations are weak, must identify the political pressure points, make contact and work to maximize the pressure.

The State Level - Agencies

The Federal government's approach to financial aid to education has been such that funds are channeled through the states. The state develops a plan for receiving grants from the Federal government and then disburses these funds to local agencies according to that plan. This approach by the national government has been used primarily in elementary and secondary education. However, two significent pieces of higher education legislation using the state plan as a vehicle are the Vocational Education Act and the Higher Education Act, Title I. Institutions should be involved in the writing and execution of the state plans so that their interests are safeguarded. Suggestions for change should be made through the state agencies.

In addition to state plans, the state agencies are also responsible for the development of formulas and the disbursal of state and Federal funds to local institutions. The processes of state agencies should be understood, interpreted and worked with in creating a workable situation for the colleges.

The Local Government

The shift in legislation to "revenue sharing" and "block grants" for local governments has added another dimension to resource development. Revenue sharing and block grants have incorporated a number of Federal programs and given authority for disbursal of funds for these programs to local jurisdictions. The Comprehensive Employment and Training Act requires that funds be channeled through local governments to agencies and organizations for manpower training and employment programs. The Community Development Act requires that a plan be submitted to the Federal government in order to initiate the flow of funds for programs formerly administered through the Department of Housing and Urban Development. And, of course, general revenue sharing provides wide discretionary funds for local entities. If this trend in funding continues, and at this point there is nothing to indicate that it will be reversed, the specialist's role in the development and implementation of the plans is imperative.

The city or county government units will approve plans for expenditure of funds based on community input. Liaison activities for community college personnel should include the following: 1) early contact with local administrative units, 2) involvement with community groups to ensure coordination, 3) active participation on local advisory committees, and 4) submission of proposals to garner funds in order to carry out the objectives of the plan.

Conclusion

Governmental relations is a necessary component of the community and junior college. Implied with the activity is cooperation between the institution and governmental entities. Such cooperation is realized in external relationships which become a precondition for the development and execution of ideas. The Federal, state and local scenes extend the college beyond its immediate boundaries and form a mechanism which is based on mutually responsive actions. The institution must focus on its governmental activities as an extension of its administration in order to capitalize on the flow of funds.

RESOURCE PAPER NO. 11

HIGHER EDUCATION IN THE AGE OF THE ECONOMIST AND CONSUMER

A Paper Prepared for Discussion
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by

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HIGHER EDUCATION IN THE AGE OF THE ECONOMIST AND CONSUMER

It is always interesting to note that history can provide some measure for understanding the past, and it can also be helpful in forecasting the future. Hence, if we consider the 18th century as the Age of Reason and the 19th century as the Age of the Machine, then surely the 20th century will be recorded as the Age of the Economist and Consumer. And the confusion of our times is merely a reflection of the confusion which reigns among economists and consumers. It has even been suggested that when 20th century man dies and ascends to heaven, Saint Peter will quickly brush aside the issues of absolution, good works and repentence, and ask the one really important question, which is: "What did you do for the Gross National Product, and how did you use your resources?"

Thus, it is altogether proper and understandable for leaders of the National Council for Resource Development not to discuss the future of the improvements of western civilization, or refinements of the reigning humanities curriculum, or even the relevance of higher education to the needs of students, but rather to assess the vital issues of our educational system. We are asked to assess the combined impact of two forces which, until quite recently, we had been taught to regard as contrary, opposing and separate tendencies which could never occur simultaneously--namely, inflation and recession.

Unquestionably, these are hard times. No sooner does a prestigious national study commission expend several million dollars and 500 pages of closely-typed prose to reassure us that our is a big, fat, healthy $30 billion-a-year enterprise, than some wise person from the Council of Economic Advisors reminds us that the GNP is vaulting toward a trillion dollar-a-year level, and that we account for only three per cent of the total, and that we're shrinking. And yet here we are in 1976--a $30 billion-a-year enterprise in a trillion dollar-a-year economy--confronted with the twin terrors of inflation and recession, and wondering increasingly whether the middle-class taxpayer isn't right when he complains that "the more you get, the less you got", or recalling that old definition of school finance as "the art of passing currency from hand to hand until it finally disappears."

Just how did our noble profession come to this rather desperate condition? First, let it be noted (as the late Richard Hofstadter did some years ago) that ours has never been a society which overvalued the intellectual and cultural arts; that the public mind has always been susceptible to the notion that members of the higher education community are essentially time-servers and time-wasters who contributed nothing to the Gross National Product; and that public support of education has always been relatively grudging and lacking in enthusiasm. Higher education has never been regarded as a national asset, but rather as an individual advantage. Or, at the very most, as an advantage for large numbers of individuals, supporting their worthy aspriations for upward mobility, which, of course, is a national asset, or at least a national virtue. Education has never been particularly valued as an end in itself, but rather as a means to an end--and whether it was preparing clergy, or doctors, or artists, or computer terminal operators, the educational means retained value only so long as the individual ends also held value. And I'm afraid I do mean economic value.

To borrow the economists' most basic terms, what I'm suggesting is that the condition of American education has been a function of demand far more than supply. As a nation, we have never supplied it simply because it was "a good thing," but rather because there was a demand for it--and behind that demand lay a compelling social and economic need to be fulfilled. Or, to take it one step further, education has always functioned largely according to the dictates of the marketplace, whether we have couched our operations in those terms or not. We should be neither surprised nor dismayed when the 1970 parlance of the economist catches up with us, and we find ourselves talking about oversupply, low levels of demand, and labor supply curves!

It is admittedly somewhat aggrevating to find members of the academic system employing these crass marketplace terms--describing the faculty-student ratio as the "productivity index," referring to faculty members as "workers," and to contributions from the rest of society as "subsidies." Consider a recent statement made by a Provost of a major private university to a meeting of his academic council:

> "If education does not experience increases in productivity then its workers will not share in the real growth of salary and wages common to society, and it will come to depend on a subsidy from the rest of society."

We did not, of course, come to our present condition simply because one or more university provosts told us we had arrived there. What has happened is that inflation and recession have emerged as national problems at precisely the same moment that postsecondary education ended its fantastic 15-year growth cycle fueled by three mutually reinforcing and interlocking forces:

First, in response to the sense of national peril generated by Russia's "great leap forward" into space, we provided substantial support on both the supply and the demand side of the educational enterprise to increase the production of skilled personnel to meet the scientific and technical requirements of our national society and our national interests;

Second, in response to the growing recognition of enormous inequalities of opportunity for postsecondary education in our society, we launched massive efforts to correct those inequities with governmentally-supported grants, work, and loan programs, plus corrective counseling and skill development services for disadvantaged students; and

Third, in response to the assertion of widely-shared cultural values, we engaged in a national preoccupation with the idea of college education for everyone as the great force for social security, if not social mobility.

The result was the great Education Boom--a 15-year cycle from 1958 to 1973 which created an illusion of constant growth and never-ending financial health for the educational enterprise, and which permitted a lot of gross errors to be glossed over or simply covered up.

Since hindsight is 20/20, there is some value in looking backward.

It seems to me that the beginning of the end of the boom occurred in the period 1968-71, when student unrest not only brought national public attention to some of our moral and social dilemmas, but also revealed to all the world that our educational institutions and their leaders were not, after all, infallible. Perhaps the boom was bound to end--if not by the simple reality that the products of the postwar baby boom would eventually be exhausted, then surely by the gradually increasing public awareness that the postsecondary education system was not, after all, either the social or personal panacea that it had been cranked up to be. But I think it's also important to bear in mind that when the end of the boom became clearly evident in the stabilizing enrollment statistics for 1973, education had already been knocked off its pedestal relative to public attitudes and perceptions, and educators could no longer rely on either the voters or their elected representatives to give them the kind of automatic support that they had begun to enjoy in the previous decade.

At the same time, of course, other social needs were beginning to take on increasing urgency and saliency--and once the Vietnam war was moved from the front of the public mind, we found ourselves worrying as a nation far more about energy, and public health, and environmental protection, and consumer protection, and poverty and transportation, than about education. And just when these social concerns were beginning to come sharply into focus, we ran up against what they call in those Alka-Seltzer ads "that old one-two"--double-digit inflation followed by nearly double-digit unemployment, which forced all of us to start thinking about the basics. . .like the price of bread, and a job to pay for it with--and that's a long, long way from Shakespeare or calculus or a business course, like it or not.

Without question, it is generally recognized that inflation has raised the price of bread and other necessities. At the same time, the amount of other available income required to cover discretionary or deferrable outlays such as education is being reduced. What is perhaps less generally recognized is that inflation has, at the same time, also raised the price of postsecondary education rather dramatically since 1973, and increased the finanacial sacrifices required to pay for it. For example, the average cost of attending a private four-year college as a resident student has increased 34 percent in the last three years (from $3,280 to $4,391), and the average cost for a student to attend a commuter school has increased 44 percent (from $2,745 to $3,950). In the public sector, the average cost of attending a four-year school as a resident student has increased 35 percent in the last three years (from $1,985 to $2,679), and the average cost of attending college as a commuter student has increased 29 percent (from $1,760 to $2,266). In other words, wherever you look, in the private or the public sector, a college education costs 30 to 45 percent more today than it did three years ago.

As the increased costs of living collide head-on with the increased costs of education in family budget-balancing, we are seeing some of the more or less predictable results:

(1) Families are coming up with significantly smaller contributions to the cost of their children's postsecondary education than they were even a year or two ago, and government funds are more and more being used to reduce expected family contributions.

(2) Increasing numbers of students are declaring independence from their families (and their families' expected contribution requirements), creating a whole new range of legal and policy problems for governmental agencies (State and Federal) to sort out. (They're apparently taking seriously the New Yorker cartoon of about a year ago which showed a family gathered around the kitchen table, and the father saying, "I've called the family together to announce that, because of inflation, I'm going to have to let two of you go.)

(3) With declining contributions from students and their families and the rising costs of education, the traditional need analysis procedures are generating even larger gaps of "need" for student assistance, while widening gaps exist between the aggregate of those needs and the aggregate of the available resources to meet those needs.

(4) Both the administration and the Congress are struggling to close the gap by making more student assistance resources available, but they, too, are working against the backdrop of inflation and recession, which makes it extremely difficult to agree on just how much and what kinds of student assistance can and should be provided at national expense.

(5) Students are flooding the marketplace in search of employment and loans with which to finance their unmet educational costs, competing for the jobs and the loan capital that is desperately needed to fuel a national recovery.

(6) And finally, postsecondary enrollments, already stabilizing as the great boom comes to an end, threaten to slide downward, particularly in the high-cost private sector, leaving the viability if not the survival of many institutions as an open and increasingly troublesome question for public policymakers to contend with.

For reasons that I believe this audience can fully appreciate, I would like to duck that policy issue for the moment--pending the outcome of the Special Study on Private Colleges which the U.S. Office of Education is currently conducting at President Ford's request--and simply call your attention to another recent New Yorker cartoon, this one showing an executive at his desk giving instructions through the intercom: "Miss Woodlow, bring me a coffee--black, no sugar--a poppyseed roll, and an idea whose time has come."

Unless we are careful, the continued building of middle-class frustration could easily generate a substantial reduction, or possibly even a complete reversal, of the long-standing national commitment to apply the limited student assistance resources to those students who most need to secure access to postsecondary education. Why? Because, it is argued, this social commitment is having the effect of assuring access to postsecondary education only for the very poor and the very rich, leaving the great bulk of students--those from middle income--to fend for themselves in the face of rapidly increasing educational costs. This logic might suggest

that it would be far better to "do something for everybody" than to persist in social policies and procedures which some have described as essentially discriminatory and not democratic.

A final word on some other vital issues, Regional and National: Tenure as an issue is not new, and it may always continue to be a local rather than a national issue. But, if there is an outgrowth of tenure that does make it a prominent issue--namely, the collective attitude of faculty--then the collective attitudes in the aggregate may have finally become a vital issue worthy of public concern. Yes, unions have come to all segments of education. Today we see them in all areas of society--the private sector of business, the public sector of city and state governments, the elementary and secondary school systems, and now, finally to higher education.

Last month the faculty of the nine state universities in the State of Florida voted to unionize--a landmark event. Now there are some new issues to be considered which may change the traditional roles on a campus. For example, the faculty senate and search and screen committees for hiring new presidents in the past have been very much involved with the selection of presidents. Now, the union/management relationship may alter the course of these relationships and indeed self-governance. The entire reward system for promotions may also become vital issues--publish/perish, academic freedom, accountability for budgets, tenure definitions, forty-hour week, and accountability for work produced.

Admissions, as I have already suggested, is a vital issue, particularly if you consider our national social policy of "Equal Educational Opportunity," which can be broken down into access, choice, and equality of results.

To date most of the emphasis has been on admissions to ensure that students have equal access and equal choice.

The results part of the policy will probably now be given more attention by the Office of Civil Rights (Pratt decision), State Legislatures--cost effectiveness/CAPS on enrollment, Federal agencies who have responsibility to implement programs for the low income and disadvantaged, the public, and consumer protection groups.

The third and last issue focuses on not who should be educated but for how long. Twelve versus sixteen years of education as a right is a vital issue according to Senator Claiborne Pell, Chairman of the U.S. Senate subcommittee on Education. He will be seeking to enact legislation which guarantees sixteen years of education for every American who wants it. But let me quickly add, that may not mean more students for Higher Education.

In the 1972 amendments to the Higher Education Act, the term Higher Education was replaced by the term "Postsecondary Education." The significance of that change is now beginning to be more clearly understood. Consider the following: In this Region of eight States (Alabama, Florida, Georgia, Kentucky, Tennessee, North Carolina, South Carolina, and Mississippi) we have over 840 postsecondary institutions, of which less than 500 are in the category called "higher education."

In a society like ours that has shifted its work force from being agriculturally dependent, to industrially dependent, and now to service dependent, we must expect that the youth of this country will begin to recognize the job situation and select different kinds of education to meet job opportunities.

Our history shows that we have shifted our work force from the 35 percent it took to produce the food we need to 3 percent (and we now export what we don't need). By the year 2000 about 85 percent of our work force will be employed in service type jobs--e.g. repair and maintenance--which may mean larger vocational/trade and service type schools.

Finally, during this past year we observed a 9 percent overall increase in postsecondary enrollment, in part because of the recession, government student aid funds, and the fact that this is the last year for many VA benefits.

This past year the number of adults and veterans attending postsecondary institutions increased.

This past year the number of first and second grade elementary classrooms did not increase as they did in the 1960's.

This past year the number of weekend and evening course offerings increased.

This past year the cost of education continued to increase.

All of these events are now part of our past. Right now what we need is better press coverage and getter public relations because costs will go up, accountability will increase, and consumers will become more sophisticated.

RESOURCE PAPER NO. 12

INDIRECT COSTS:

AN INTRODUCTION FOR THE COMMUNITY COLLEGE DEVELOPMENT OFFICER

By

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INDIRECT COSTS:

AN INTRODUCTION FOR THE COMMUNITY COLLEGE DEVELOPMENT OFFICER

What are Indirect Costs? How does a community college qualify for Indirect Costs? How are Indirect Costs translated into dollars? How many dollars? What are the procedures involved?

Such questions about Indirect Costs are very much in evidence at community colleges across the country. Largely through ignorance of the processes involved, community colleges have excluded themselves from the dollar-stretching benefits of Indirect Costs. Too frequently it has been assumed that Indirect Costs were available only to research oriented four-year colleges and universities, or that only the largest of community colleges were capable of wrestling with the complexities of Indirect Costs. To help dispel this view, and to encourage more community colleges to become involved in the preparing of Indirect Cost Proposals, is the object of this NCRD resource paper.

Do not, however, rush off to prepare an Indirect Cost Proposal merely in the hope that it will produce more federal dollars for your institution. The investment in time and effort is substantial. Not all community colleges are involved extensively in federal programs. Nor do all federal programs have an Indirect Cost component. The most sensible approach is to look before you leap.

As a beginning, contact your Regional HEW Office. There you will find an individual in the Office of Management and Finance who usually goes by the title of Director, Division of Negotiations and Granting Assistance. This person is responsible for all of the Indirect Costs of all higher education institutions in the Region, including those relating to federal agencies other than HEW. He or one of his aides can provide the information and assistance you will require in preparing an Indirect Cost Proposal.

Before that happens, however, he will probably tell you that it is too much trouble to do anything until you know for certain that your community college will receive an award which includes an Indirect Cost component. There is little reason to go through this process for the exercise, or in the expectation that in some unspecified future year you might receive such an award. An Indirect Cost Proposal applies only to the year for which a program award is made. There is not much point in attempting to prepare one in advance.

After receiving confirmation of a program award involving Indirect Costs, you will have ninety days to prepare and submit an Indirect Cost Proposal to your Regional Office. If completed and approved within the 90-day period, it will be made retroactive to the beginning of the program award year. For multi-year programs, a new Indirect Cost Proposal must be submitted at the end of each fiscal year to validate Indirect Costs for the forthcoming year.

The processes relating to Indirect Costs are often complex and tedious. Do not become discouraged. Remember that your specialty is Development, not Indirect Costs. As a Development Officer in a community college, you are fortunate to be situated in an institution which holds as a cardinal principle that nearly everyone

can succeed if he or she gets the right kind of help. Your kind of help is located in the Business Office. Don't be a do-it-yourselfer. Indirect Costs is a highly technical budget and accounting process. Leave most of the work to the budget experts in your institution.

They will need your help and some basic tools to work with. There are some fundamental information materials you should be familiar with, and your Business Office friends will need current copies of these documents. As most community colleges do the largest share of their federal program work with HEW and the Office of Education, the following will prove most useful:

DHEW. A Guide for Colleges and Universities: Cost Principles and Procedures for Establishing Indirect Costs....

DHEW. Grants Administration Manual.

Note: The above publications may be purchased from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. The first is usually available from the Regional HEW Office at no cost, and will be of the most immediate assistance. It contains a complete copy of Federal Management Circular 73-8 (formerly OMB Circular A-21 -- and soon to revert again to the OMB classification). It also contains sample formats for Indirect Cost Proposals.

Having disposed of the greater share of the burden of Indirect Costs by the relatively simple process of heaping it upon the backs of your Business Office staff, it will still be useful for you to be acquainted with the "basics" of Indirect Costs. Space limitations make it impossible to cover everything, and we must be content with a few brief explanations of the essentials.

What Are Indirect Costs?

Direct Costs and Indirect Costs are a part of every institutional budget. Direct Costs of instruction include the salaries paid to instructors from the instructional budget. Indirect Costs of instruction include a portion of the budgets allocated to Physical plant, administration, student services, library, etc., as they indirectly service the instructional program.

The line between Direct and Indirect Costs is often finely drawn. And not every institution divides its budget in exactly the same way. To clarify these grey areas the documents identified above provide some options and further explanations.

Those closely associated with federal programs in the community college realize that there are many ways in which an institution contributes to their successful operation above and beyond the direct application of program award dollars. They are more subtle and "indirect" than line items in the program budget, but are nonetheless recognized as essential to the success of every federal program. This indirect support of federal programs takes such forms as utilization of space (classrooms, laboratories, offices, etc.), administrative supervision, accounting and fiscal reporting by the Business Office, peripheral involvement by members of the college staff, maintenance of the physical plant, custodial services, etc. -- all provided by the institution at no direct cost to the federal program budget. In this sense, "Indirect Costs" is a mechanism

devised to give recognition to these vital institutional contributions by translating them into a dollar value and making proportional reimbursement to the college.

For purposes of Indirect Costs, HEW considers that there are three major functional divisions of a college or university:

1. Instruction

2. Organized Research

3. Other Institutional Activities

"Direct Costs" are those costs which can be specifically identified with only one of the above, and can be assigned as such with a high degree of accuracy.

"Indirect Costs" are those costs that are incurred for common or joint objectives and cannot be identified exclusively with one of the above. They overlap two or more of the above divisions and are normally classified under the following categories:[1]

1. General Administration and General Expenses: incurred for the general executive and administrative offices; also expenses of a general character which do not relate solely to any of the three major functional divisions, above.

2. Research Administration Expenses: incurred by a separate organization or identifiable administrative unit established solely to administer the research activity. (Normally NA for community colleges.)

3. Operation and Maintenance Expenses: incurred by a central service organization or at the departmental level for the administration, supervision, operation, and maintenance of the physical plant.

4. Library Expenses: incurred for the operation of the library, including the costs of books and library materials purchased for the library (less any items of library income -- fines, etc.).

5. Departmental Administration Expenses: incurred in academic deans' offices, academic departments and organized research units for administrative and supporting services which benefit common or joint departmental activities or objectives.

6. Student Administration and Services Expenses: incurred for the administration of student affairs and for services to students, including deans of students, admissions, registrar, counseling and placement services, student advisers, student health and infirmary services, catalogs, commencements, and convocations.

Note: Each of the above also include salaries, benefit and pension plan costs, prorated physical plant operation and maintenance costs, and depreciation.

What finally emerges is a sorting out of those portions of an institutional budget that qualify as "Allowable Indirect Costs." These are totaled and computed as a ratio (percentage) of "total direct costs" (usually defined as direct salaries

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[1]DHEW. Guide...for Establishing Indirect Costs.... pp. 20-21, 37.

and wages). Caution: there are items within an institutional budget that are neutral -- neither direct nor indirect -- and must be deleted prior to making the computation.

Indirect Cost Proposal

An Indirect Cost Proposal is an application for an Indirect Cost award. It is submitted, as are other federal program applications, in hopes that it will be approved and funded. In form it is not as rigidly structured as most of the program applications with which you are familiar. You will need to devise a structure suited to your institutional budget, and it is essential that you communicate with your Regional Director of Negotiations and Granting Assistance at this juncture. He will guide you in laying out the format of your Indirect Cost Proposal.

In general there are two basic forms: the "long form" and the "abbreviated method" (similar in function to the long and short income tax forms). The long form is designed for institutions having more than $1 million dollars per year in direct costs under federal research and/or educational service agreements. This long form also requires a highly sophisticated accounting and records-keeping process.

The abbreviated method (short form) is designed for institutions having less than $1 million dollars per year in direct costs under federal research and educational service agreements. Such an abbreviated method proposal would normally take on an appearance like the sample shown on page 5.

Following the submitting of your Indirect Costs Proposal to the Regional Office, a negotiation will take place to determine the final approval of Allowable Indirect Costs. This makes possible the establishment of an "Indirect Cost Rate" which is determined on the basis of the following formula:

Allowable Indirect Costs ÷ Direct Costs (Salaries & Wages) = Indirect Cost Rate

The negotiated Indirect Cost Rate is then subject to review and approval by the Regional HEW Comptroller. He is responsible for approving (or disapproving) the Indirect Cost Rate and determining whether it -- or a flat rate of 8% -- is applicable to the specified federal program. Training Awards and Contracts have a fixed automatic rate of 8% which need not be applied for separately.

The Indirect Cost Rate is renewed each year, based upon the institutional budget of the most recently completed fiscal year. The major consideration in any Indirect Cost Proposal, and also from year to year, is the consistent treatment of direct and indirect costs. It is therefore wise to establish a process that can be followed each year to identify and separate direct from indirect costs.

When Indirect Costs are approved for reimbursement the dollar amount is determined by applying the Indirect Cost Rate to the Direct Costs of the federal program award. The resulting figure is then added to the total of the federal program grant. The college will receive Indirect Cost dollars via the same process, at the same time, and in the same proportion as program dollars are received.

- SAMPLE -

INDIRECT COST RATE

- SAMPLE -

CLEARINGHOUSE FOR JUNIOR COLLEGES
MAY 18 1977
UNIVERSITY OF CALIF. LOS ANGELES

Based on Financial Data for the Fiscal Year Ended June 30, 19___

Budget Accounts	REPORTED EXPENDITURES			ELIMINATIONS & ADJUSTMENTS		ADJUSTED EXPENDITURES					
						DIRECT COSTS			INDIRECT COSTS		
	Salaries & Wages (A)	Other (B)	Total Expenditures (C)	Salaries & Wages (D)	Other (E)	Salaries & Wages (F)	Other (G)	Total Direct (H)	Salaries & Wages (I)	Other (J)	Total Allowable Indirect (K)
ADMINISTRATION President's Off. Trustee Expense Business Office Etc. STUDENT SERVICES INSTRUCTION PHYSICAL PLANT LIBRARY AUXILIARY SERVICES ETC. (each broken into component line items)	total *salaries & wages* for each line item	total *other* for each line item	budget total for each line item; sum of columns A and B; also sum of columns D, E, H, and K.	base distorting *salaries & wages;* neither direct nor indirect; usually NA except for institution share of college work study.	base distorting *other;* neither direct nor indirect; includes interest, capital expenditures, equipment, major alterations and renovations, library fines, parking fees and fines, etc.	total *direct salaries & wages* for each line item as applicable.	total *direct other* for each line item as applicable.	total *direct costs* for each line item as applicable; sum of columns F and G.	total *indirect salaries & wages* for each line item as applicable.	total *indirect other* for each line item as applicable.	total *allowable indirect costs* for each line item as applicable; sum of columns I and J.
TOTAL (Example)	950,825	406,312	1,357,137	42,500	69,975	876,154	122,630	998,784	141,655	104,223	245,878

INDIRECT COST RATE equals sum of column K divided by sum of column F: $245,878 ÷ $876,154 = 28.06%